

SECTION 221 – THE FY 2002 ANNUAL PERFORMANCE PLAN

221.1 Annual performance plan for fiscal year 2002.*(a) Introduction.*

The FY 2002 performance plan should continue expanding the quality and scope of performance information included in previous annual plans. The FY 2002 performance plan adds a fourth year of performance information. Additionally, the submission timetable for this plan is adjusted, and certain specifications established which govern the content of the initial FY 2002 plan that is sent to OMB

(b) Schedule.

As the newly-inaugurated President will send the Federal budget to Congress some weeks after the usual early February transmittal date, this will postpone submission of the final FY 2002 performance plans from the agencies to Congress. (See subsection 220.2(b) on submission of the final plan.) This schedule adjustment may affect an agency's ability to combine its FY 2002 performance plan and its FY 2000 performance report (see section 233.1)).

The initial FY 2002 performance plan is to be sent to OMB by October 20, 2000.

(c) Performance content of the initial FY 2002 plan.

The performance goal target levels defined in the initial FY 2002 performance plan will be based on the current services baseline for the agency. The current services baseline is policy neutral. Performance goals for new programs not yet authorized in law or other proposed agency initiatives, are not included in the initial FY 2002 performance plan. Performance goal targets for existing programs and activities are not to be set at a level predicated on the agency receiving resources above the amount available for the entire agency in the current services baseline. Within the current services baseline, an agency may change resource levels between its programs, and this could affect the performance goal targets for these programs.

(d) Performance content of the final FY 2002 plan.

An agency's performance goal targets for its final performance plan should reflect the President's budget for FY 2002. The target levels should be consistent with program, policy, and resource decisions made by the President.

(e) Integrating budget and performance.

An annual plan should display the amount budgeted for each GPRA program activity. Currently, preparing such a display may be difficult. An agency unable to display such information in its FY 2002 performance plan should describe the action steps it intends taking over time to develop the capability for aligning budget amounts with GPRA program activities. A timetable for the steps should be included. The description and

schedule are included in the initial FY 2002 plan sent to OMB. Following OMB review, the agency may include the steps and timetable, as modified following the review, in its final FY 2002 performance plan.

(f) Fiscal year 1999, 2000, and 2001 budget information.

Plans including performance goals for fiscal years 2001 (estimated performance) and 2000 and 1999 (actual performance) should include the corresponding budget amounts for these goals. The budget amounts should be at the same aggregate level, such as the GPRA program activity level, as displayed for FY 2002 in the annual plan. The agency should note if a budget amount covered goals within GPRA program activities that were discontinued.

(g) Incorporating improvements arising from reviews of the FY 1999, 2000 , and 2001 performance plans, and the FY 1999 program performance reports.

Being the first sets of annual plans and reports required by GPRA, these documents were reviewed extensively by OMB, Congress, and other parties. These reviews have produced numerous suggested improvements to individual agency plans. Agencies are expected to reflect and incorporate appropriate suggestions and comments for improving their annual plans in the fiscal year 2002 plan. (See also subsection 220.18(b)).

221.2 Fiscal year coverage of the FY 2002 annual plan.

Summary of requirement: The FY 2002 annual plan should include performance goals for both FY 2001 and 2002, and actual performance information for FY 1999 and 2000. Agencies are encouraged to include actual performance information for FY 1998 and 1997, if it is available.

(a) Fiscal year 2002.

Performance goals and indicators for fiscal year 2002 set out projected levels of performance. These performance goals are a statutorily-required element of the plan.

(b) Fiscal year 2001.

For performance goals and indicators included in both the FY 2002 and 2001 plans, the target levels of performance for fiscal year 2001 should be displayed. While target values for a performance goal can differ by fiscal year, the goal description should be similar. The target values for FY 2001 represent estimated performance levels.

The FY 2001 target levels are those contained in either the final plan or the revised final plan for this fiscal year, whichever is most current. Although FY 2001 target levels are included in an agency's final FY 2002 plan (sent to Congress in Spring, 2001), the FY 2002 plan is not used to further revise target levels for performance goals in the FY 2001 plan. Any such revision must first be made through a revised final plan for FY 2001.

Fiscal year 2001 performance goals or indicators that are not continued in the FY 2002 plan need not be included in this plan. Information on discontinued FY 2001 performance goals and indicators is found in either the final or revised final FY 2001 performance plan.

(c) Fiscal years 1999 and 2000.

Agencies should include actual performance data for FY 1999 and 2000 for those performance goals and indicators included in both these and the 2002 plans.

Actual performance information for FY 2000 often will not be available when the initial FY 2002 plan is sent to OMB in October 2000. Data availability should increase by the time that the final plan is sent to Congress. Agencies including actual performance data in their FY 2002 plan but lacking information for specific goals or indicators should note that the information is not available. Data may also be characterized as preliminary.

An agency need not compare actual performance with fiscal year 2000 target levels for performance goals and indicators. (See also section 232.1 on other elements of a program performance report which an agency need not include in its annual plan.)

(d) Fiscal years 1998 and 1997.

Agencies having actual performance data for 1998 and 1997 corresponding to performance data for FY 1999 that is being included in the FY 2002 performance plan are encouraged to include this information as well. This data can be useful in showing trends or in establishing a baseline.

(e) Future fiscal years.

Agencies should include the projected level of performance in a future fiscal year; i.e., post fiscal year 2002, where such performance will be funded by the FY 2002 budget request. (See subsection 220.11(c) on goals for performance occurring in a future fiscal year.) In the initial plan submitted to OMB, agencies may include projections of future performance that would be funded by future year budgets.

221.3 Display of performance goals in the FY 2002 annual plan.

Performance information for fiscal years 1999, 2000, 2001, and 2002 for a program activity should be grouped as a single array. Agencies should avoid dividing the annual plan into separate sections by fiscal year.

Agencies have flexibility in designing the array, e.g., whether to present the information as a multi-column table or vertically. The design may be influenced by how the performance goals are expressed, e.g., as quantitative values or descriptive statements. Fiscal year 2002 target levels should be defined as projected performance, FY 2001 target levels as estimated performance, and FY 2000 and 1999 (or prior year) levels as actual performance.

SECTION 221 -- THE FY 2002 ANNUAL PERFORMANCE PLAN

An agency defining a significant number of performance goals using the alternative form of measurement may truncate the descriptive reporting of actual prior year performance in its annual plan. (Performance goals not defined in a quantifiable manner use the alternative form of measurement. See section 220.15 on the alternative form of measurement.) Performance reporting may be truncated for years two, three, and four of actual performance, but not for the most immediate prior year. For example, a performance plan for 2004 includes actual performance for 1999, 2000, 2001, and 2002, with actual performance being truncated for years 1999-2001. A truncated description of performance briefly summarizes in a phrase or two what was achieved in a particular fiscal year. An agency may not truncate the reporting of prior year performance in its annual report.

Performance goals or indicators newly established for the FY 2002 plan may not have counterpart goals in the FY 2001 plan. The plan should indicate that these are new goals.